

Australian Standard™

**Sampling procedures for inspection by  
attributes**

**Part 4: Procedures for assessment of  
declared quality levels**

This Australian Standard was prepared by Committee QR-008, Quality Systems. It was approved on behalf of the Council of Standards Australia on 28 May 2003 and published on 28 July 2003.

---

The following are represented on Committee QR-008:

Australian Chamber of Commerce and Industry  
Australian Industry Group  
Australian Information Industry Association  
Australian Institute of Petroleum  
Australian Organisation for Quality  
Bureau of Steel Manufacturers of Australia  
Certification Bodies (Australia)  
Commonwealth Department of Transport and Regional Services  
Department of Agriculture, Fisheries and Forestry (Commonwealth)  
Department of Defence (Australia)  
Department of Industry Science and Resources (Commonwealth)  
Federal Chamber of Automotive Industries  
Institute of Materials Engineering Australasia  
Institution of Engineers Australia  
Main Roads Department, Queensland  
Master Builders Australia  
Quality Society of Australasia  
Royal Australian Chemical Institute

Additional interests participating in the preparation of this Standard:

Australian Quality Council  
CSIRO Mathematical and Information Services  
Macquarie University  
National Association of Testing Authorities Australia  
Queensland University of Technology

---

#### **Keeping Standards up-to-date**

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about Standards can be found by visiting the Standards Australia web site at [www.standards.com.au](http://www.standards.com.au) and looking up the relevant Standard in the on-line catalogue.

Alternatively, the printed Catalogue provides information current at 1 January each year, and the monthly magazine, *The Global Standard*, has a full listing of revisions and amendments published each month.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Contact us via email at [mail@standards.com.au](mailto:mail@standards.com.au), or write to the Chief Executive, Standards Australia International Ltd, GPO Box 5420, Sydney, NSW 2001.

---

Australian Standard™

**Sampling procedures for inspection by  
attributes**

**Part 4: Procedures for assessment of  
declared quality levels**

First published as AS 1199.4—2003.

**COPYRIGHT**

© Standards Australia International

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher.

Published by Standards Australia International Ltd  
GPO Box 5420, Sydney, NSW 2001, Australia

ISBN 0 7337 5436 8



## CONTENTS

1	Scope .....	1
2	Normative references .....	2
3	Terms, definitions, symbols and abbreviations .....	2
4	Principles .....	3
5	Declared quality level (DQL) .....	4
6	Sampling plans .....	4
7	Operating a sampling plan .....	6
8	Further information .....	7
<b>Annex</b>		
A	Examples of use of the procedures .....	11
A.1	Example 1 .....	11
A.2	Example 2 .....	11
A.3	Example 3 .....	11

## INTRODUCTION

The procedures in this part of ISO 2859 differ in their scope from the procedures in ISO 2859 Parts 1 to 3. The system of acceptance sampling procedures that are specified in ISO 2859 Parts 1 to 3 are intended to be used in bilateral agreements between two parties. The acceptance sampling procedures are intended to be used as simple pragmatic rules for releasing product after inspection of only a limited sample of a consignment, and therefore the procedures do not make reference (either explicitly or implicitly) to any formally declared quality level.

Under acceptance sampling there is no sharp borderline between quality levels that should be considered acceptable and qualities that should be rejected by the procedure. For the procedures in ISO 2859-1 the two parties agree upon some acceptance quality limit (AQL) which is the worst tolerable process average when a continuing series of lots is submitted. The switching rules and the sampling schemes in ISO 2859-1 are designed to encourage the suppliers to have process averages consistently better than the AQL selected. In order to keep sample sizes moderate, the protection against accepting individual lots of inferior quality may be less than that provided by sampling plans targeted for sentencing individual lots. The procedures in ISO 2859-2, on the contrary, are designed to provide good protection against accepting individual lots of inferior quality (LQ), but at the expense of a possible high risk of not accepting lots of qualities that both parties actually would consider to be acceptable.

Procedures in ISO 2859 Parts 1 to 3 are well suited for acceptance sampling purposes, but they should not be used in reviews, audits, etc. to verify a quality that has been declared for some entity. The main reason is that the procedures have been indexed in terms of quality levels that are relevant solely for the pragmatic purposes of acceptance sampling, and the various risks have been balanced accordingly.

The procedures in this part of ISO 2859 have been developed as a response to the growing need for sampling procedures suitable for formal, systematic inspections such as reviews or audits. When performing such a formal inspection, it is necessary for the authority to consider the risk of reaching an incorrect conclusion, and to take this risk into account in planning and executing the review/audit/testing, etc.

This part of ISO 2859 provides guidance and rules to assist the user in taking this risk into account in an informed manner.

The rules in this part of ISO 2859 have been designed such that there is only a small, limited risk of contradicting the declared quality level when in fact the actual level conforms to the declared level.

If it were also desired that there should be a similarly small risk of not contradicting the declared quality level when in fact the actual quality level does not conform to the declared quality level, then it would be necessary to investigate a rather large sample. Therefore, in order to obtain the benefit of a moderate sample size, the procedures in this part of ISO 2859 have been devised in such a way that they allow a somewhat higher risk of failing to contradict the declared quality level when in fact the actual quality level does not conform to the declared quality level.

The wording of the result of the assessment should reflect this unbalance between the risks of reaching incorrect conclusions.

When the sample result contradicts the declared quality level *there is strong evidence of nonconformance to the declared quality level.*

When the sample result does not contradict the declared quality level, this should be understood as "we have not, in this limited sample, found strong evidence of nonconformance to the declared quality level".

## AUSTRALIAN STANDARD

**Sampling procedures for inspection by attributes —****Part 4:****Procedures for assessment of declared quality levels****1 Scope**

This part of ISO 2859 establishes sampling plans and procedures that can be used to assess whether the quality level of an entity (lot, process, etc) conforms to a declared value. The sampling plans have been devised so as to obtain a risk of less than 5 % of contradicting a correct declared quality level. The risk is 10 % of failing to contradict an incorrect declared quality level which is related to the limiting quality ratio (see clause 4). Sampling plans are provided corresponding to three levels of discriminatory ability.

In contrast to the procedures in the other parts of ISO 2859, the procedures in this part of ISO 2859 are not applicable to acceptance assessment of lots. Generally, the balancing of the risk of reaching incorrect conclusions in assessment procedures will differ from the balancing in the procedures for acceptance sampling.

This part of ISO 2859 may be used for various forms of quality inspection in situations where objective evidence of conformity to some declared quality level is to be provided by means of inspection of a sample. The procedures are applicable to entities such as lots, process output, etc. that allow random samples of individual items to be taken from the entity.

The sampling plans provided in this part of ISO 2859 are applicable, but not limited, to inspection of a variety of products such as

- end items;
- components and raw materials;
- operations;
- materials in process;
- supplies in storage;
- maintenance operations;
- data or records;
- administrative procedures.

The procedures are primarily intended to be used when the quantity of interest is the number or fraction of nonconforming items for which the inspected items are classified as conforming or nonconforming.

With minor changes, the procedures may also be used when the quantity of interest is the number of nonconformities or number of nonconformities per item. The necessary changes are:

- replacement of “number of nonconforming items” by “number of nonconformities”;
- replacement of “percent nonconforming items” by “nonconformities per 100 items”.

In this case the values given in Tables 2 to 7 are only approximations.